

41

Serial No.: 09/930,786  
In reply to Office Action mailed: December 18, 2003  
Page 1 of 15

3628



**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Serial #: 09/930,786  
Applicant: Ronald E. Sloan et al.  
Filed: August 15, 2001  
Title: AUTOMATED FINANCIAL PORTFOLIO COACHING AND RISK MANAGEMENT SYSTEM (as amended herein)

Group Art: 3628  
Examiner: J. Pwu  
Docket #: 60021-375602

**RECEIVED**

APR 28 2004

**CERTIFICATE OF MAILING**

**GROUP 3600**

I hereby certify that this correspondence is being deposited with the U.S. Postal Service as First Class Mail with sufficient postage and is addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on April 19, 2004.

*Ann Pommier*

Ann Pommier

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**AMENDMENT AND RESPONSE TO OFFICE ACTION**

In response to an Office action mailed December 18, 2003 (Office Action). Please amend the above-identified application as follows:

**Amendments to the Specification** are found on page 2 of this paper.

**Amendments to the Claims** are reflected in the listing of claims, which begins on page 3 of this paper.

**Remarks/Arguments** begin on page 12 of this paper.